STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

# COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

Command:	Division:	Chapter:
San Luis Obispo	Coastal	HPG 5
Inspected by:		Date:
Lt. C. Day		11/24/2009

Page 1 of 3

TYPE OF INSPECTION  Division Level	l Level	Total hours expended on the inspection:  2 hours	☐ Attachments Included
Follow-up Required:	Forwa	ard to:	
☐ Yes	Coast	al Division	
Chapter Inspection:	10-3/10		
nspector's Comments Reg	arding I	nnovative Practices:	
one			
Command Suggestions for	Statewi	de Improvement:	

The Chapter 5 checklist from HPG 22.1 contained items that are out of date and no longer applicable. Checklist items such as stenographers, computer use, and manuals are out of date and no longer applicable. With the creation of HPM 22.1, fiscal controls (X numbers, petty cash and change fund, counter receipts, etc.) are now covered in more detail in the HPM.

Checklist issues and responses:

- 1.a.(2) and 1.a.(3): Stenographers: The San Luis Obispo does not employee stenographers and dictation is not used.
- 1.b.(4): OSS I: There is only one OSS I assigned to the San Luis Obispo Area.
- 2.c.(3): Performance appraisals: all performance appraisals were not completed on time.
- 3.a.(1): Criminal records: The Area uses the dispatch center to obtain criminal records. No office personnel have been designated to obtain criminal record information.
- 3.a.(1)(a): The dispatch center utilizes the 263B log.

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- 4.a.(3)(a): X numbers: The checklist asked if services over \$1000 are procured. This box was
  marked "yes" because the X number amount changed to \$4999 or less. X numbers related to
  facilities issues are all obtained from Facilities Section and X numbers for all other services are
  obtained from Coastal Division.
- 4.a.(3)(c): Price quotes for X numbers: If bids are obtained from two DGS-certified small business then only two bids are required. This box was checked "no" on the checklist because the Area frequently obtains bids from DGS-certified small businesses and only obtains two bids.
- 4.c.(3): Postage machine repairs: The Area has never encountered a postage machine failure requiring the refund of monies.

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management, procurement, and fiscal controls.

Command:	Division:	Chapter:
San Luis Obispo	Coastal	HPG 5
Inspected by:	***	Date:
Lt. C. Day		11/24/2009

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Commander's Respons	se:  Concur or  Do Not Concur (Do Not Concur shall document basis for response)
All of the findings of the	inspection are accurate.

Required Action:

Corrective Action Plan/Timeline:

Annual performance appraisals: until recently the employee performance appraisals were not always completed in a timely manner. The following steps have been taken to remedy the problem:

- A performance appraisal database has been created to track performance appraisals.
- The Area suspense system is used to notify the lieutenant of needed performance appraisals.
- The lieutenant provides a list to all supervisors and managers of needed performance appraisals.
- The lieutenant follows up with all supervisors and managers to ensure the appraisals are completed.

Following the creation of this system nearly all performance appraisals have been completed and a system is now in place to ensure future appraisals are completed on time.

	l like to discuss this report with	COMMANDER'S SIGNATURE	DATE
the reviewer (See HPM 9.1. (	Chapter 8 for appeal procedures.)	C0626	12.29-09
	,	INSPECTOR'S SIGNATURE	DATE
			12-29-09
Reviewer discu	ussed this report with	REVIEWER'S SIGNATURÉ	DATE
employee		- 10216	
Concur     Co	Do not concur	SBAN MARAE	12/31/2009

STATE ÓF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

### AREA MANAGEMENT EVALUATION OFFICE MANAGEMENT

CHP 453E (Rev. 5-06) OPI 009

AREA.	DIVISION	NUMBER
Conejo IF 771	Coastal Division	
EVALUATED BY		DATE
R. Klucker, Sgt		11/24/2009

INSTRUCTIONS: Indicate items reviewed by placing a check in the "Evaluated" box and/or the "Action Required" box. If this form is used as a Correction Report, the "Correction" box should be initialed and dated as deficiencies are corrected. Answer individual items with "yes" or "no" answers, or fill in the blanks as indicated. If additional comments are necessary, the information can be placed on the CHP 454, Area Management Evaluation Supplement. The Supplement should include significant findings, accomplishments or corrective actions, unresolved items, problems or progress, and the evaluator's overall impressions. This form can be completed in pen or pencil, and the Supplement can be handwritten if desired.

Forma		mal Evaluation	SUSPENSE DATE			
Yes	v No	☐ Correction Report	COMMANDER CEVIEW	Se SC Munsay Lr	DATE	4.09
1. CLERI	CAL TASKS		EVALUATED Yes	ACTION REQUIRED NO	CORRECTED	j.
a. Is th	ne office well organized?				✓ Yes	□No
(1)	Are there written job des	scriptions?			✓ Yes	☐ No
	(a) Does clerical staff h	ave their job description at their	r desk?		∀es	□No
	(b) Does clerical staff u	nderstand what is expected of	them?		✓ Yes	□ No
(2)	Are similar activities gro	uped together to promote efficie	ency?		✓ Yes	□No
(3)	If tape recorders are use	ed, can clerical employees trans	scribe effectively? $$	/A	Yes	[] No
(4)	Is the clerical staff know security, etc.?	ledgeable in the use of persona	al computers, filing requireme	ents, information	Yes	□No
(5)	Can another clerical em	ployee assume the duties of a c	clerical employee who is abs	ent? N/A	Yes	□ No
b. Is th	ne Office Services Superv	visor (OSS) effective? //	A ONLY 1 C	LERICAL	☐ Yes	□No
(1)	Does he/she properly ap	pply management philosophies	and supervisory skills?	Ĭ.	☐ Yes	□No
	(a) Does he/she have t	he authority and backing neces	sary to effectively supervise	subordinates?	☐Yes	□No
	(b) Is the clerical super	visor an effective manager?			☐Yes	□No
(2)	Does the OSS identify e	mployes with supervisory poter	ntial?		☐ Yes	□No
	(a) Does he/she assist development?	employees in the preparation o	f written plans for progressiv	e career	Yes	□No
	(b) Have special interest been afforded the e	sts been identified and education mployees?	onal opportunities and/or dep	artmental training	Yes	□No
		ndividual Development Plan for ed to identify particular strength		Permanent	Yes	□No
(3)	Does the supervisor set	a good example?			☐Yes	□ No
	(a) Does he/she show a	a willingness to assist subordina	ate personnel?		Yes	□No
	(b) Does he/she know w	when to act, when to delegate,	and when to refer to a super	visor?	[] Yes	□No
(4)	If there is more than one	OSS, is the work and supervis	ion evenly distributed?	4	Yes	□No
(5)	Does the OSS participate	e in Area staff meetings?	OT DOES		Yes	□ No

#### OFFICE MANAGEMENT

2. [	FILING SYSTEM	EVALUATED Yes	ACTION REQUIRED	CORRECTE	3			
ē	a. Is the Area's filing system in compliance with departmental							
	File Guide?	garaemies semaniea ii	The Grant of the G	✓ Yes	□No			
Ł	b. Are other files, i.e., permanent files, enforcement documen	t files, etc., maintained	according to policy?	✓ Yes	□No			
	(1) How far back are accident reports being maintained?	Current year plus 4						
	(2) Is there a filing backlog?			Yes	✓ No			
	(3) Is there evidence of recent office review?	71		✓ Yes	□No			
	(4) How are Management and All Commanders Memoran							
	The OT is responsible for filing the documents in a bi	sible for filing the documents in a binder and purging them in accordance with Departmen						
	(5) Are Training and Information Bulletins filed?			✓ Yes	□No			
	(a) If so, how are they located? They are maintain	ed in a binder in the co	mmand library					
	(6) Do all clerical employees understand the filing system?	?		✓ Yes	□No			
	(7) Does the Area have an effective suspense system?			√ Yes	□No			
	(a) Do all supervisors take advantage of the suspense	(a) Do all supervisors take advantage of the suspense system?						
C	Are personnel files properly secured and access limited?	✓ Yes	□ No					
	(1) Are the requirements of the Information Practices Act be	✓ Yes	□No					
	(2) Is a periodic review done on a regular basis?			✓ Yes	□ No			
	(a) If so, how often? Annually by a supervisor							
	(3) Is annual employee review and updating conducted as	required?		✓ Yes	□No			
	(4) Are only required or permitted items contained in person	onnel folders?			□No			
3. S	SECURITY OF CRIMINAL RECORDS	Yes Yes	ACTION REQUIRED NO	CORRECTE				
а	Have employees who have access to criminal offender reconstating they understand the regulations and policies pertain	Have employees who have access to criminal offender record information signed an acknowledgment stating they understand the regulations and policies pertaining to these records? VCC DOES THIS						
	(1) Has the Area designated a specific person to release c	riminal offender record	information?	✓ Yes	□No			
	(a) Do any other persons release this information? A	LL INFO RELEA	SED BY VCC	Yes	✓ No			
-	(b) Has the designated person completed the required	training?		Yes	✓ No			
	(c) Are safeguards in place to verify telephone inquirie	es prior to disclosure?		√ Yes	□No			
	(2) Does each person that is designated to release information Release Log?	ation maintain a CHP 2	63B, Criminal Offender	✓ Yes	□No			
	(a) Are entries maintained for the prescribed period of	time?		Yes	☐ No			
1. F	ISCAL PROCEDURES	FVALUATED Yes	ACTION PEQUIRED	CORRECTE	)			
- а,	. Have discrepancies on the most current audit reports been		1.10	✓ Yes	□No			
-								

#### OFFICE MANAGEMENT

(1)	Are all change fund and collections handled and processed according to policy?	✓Yes	□No
	(a) Are counter receipts and DL45s, California Special Driver's Certificate, issued to the field accounted for and safeguarded?	✓ Yes	□ No
	(b) Are "voided" or "no fee" DL45s marked as such, signed by the commander, and forwarded to Fiscal Management Section?  AREA DOES NO DO DL 45'S	Yes	✓ No
	(c) Is there a separation of duties between cashier responsibilities and transmittal of collections?	Yes	✓No
	(d) Are collections and change funds safeguarded?	✓ Yes	□ No
	(e) Are checks promptly endorsed and cash receipts reconciled daily?	✓ Yes	□No
	(f) Are counter receipts and DL45s that are issued in sequence accounted for and returned to Fiscal Management Section upon completion?		□No
	(g) What specific guidelines are in place for security control and accountability?		
	Collections and funds are locked and secured overnight and only trained personnel handle this duty		
	(h) Is a supervisor responsible for review of the system?	✓ Yes	□ No
	(i) Do total collections agree with the total amount of counter receipts and DL45s issued?	✓ Yes	□No
	(j) Are counter receipts and transmittal records prepared properly?	✓ Yes	□No
	(k) Are surprise counts of funds performed and documented by the commander or designee?	✓ Yes	□No
(2)	Are security and accountability procedures in place for the petty cash fund?	✓ Yes	□No
	(a) Is the petty cash fund used only for authorized purchases within the limited amount?	✓ Yes	□No
	(b) Are valid authorizations on file?	√ Yes	□No
	(c) Is a Disbursement Voucher (Std. 439) completed and signed by the commander when the receipt does not show the vendor name or item purchased?	Yes	✓ No
	(d) Are there adequate procedures to ensure purchases are properly authorized?	✓ Yes	□No
	(e) Are surprise counts performed by someone not involved in handling the petty cash fund?	✓ Yes	□No
(3)	Are X-Number services proper and within departmental and state policy?	✓ Yes	□No
	(a) Are services procured over \$4,999.99?	Yes	☑ No
	(b) Is the amount limit circumvented by splitting procurements?	Yes	√ No
	(c) Are three price quotations obtained and documented on a CHP 78X, X-Number Request?	✓ Yes	□No
	(d) Do invoices itemize charges and reference X-Numbers?	✓ Yes	□No
(4)	Are bank cards adequately safeguarded, and purchases reviewed by a supervisor?	✓ Yes	□No
	(a) Are cardholders familiar with the bank card process, including prohibited and restricted items?	✓ Yes	□No
	(b) Are purchases within established policy?	✓ Yes	□No
	(c) Are three price quotations obtained and documented on a CHP 315X?	✓ Yes	□No
	(d) Is the bank card log completed properly?	✓ Yes	□No

### OFFICE MANAGEMENT

		(e)	Are invoices and CHP 317, CAL-Card Log, review	ed by a supervisor?			✓ Yes	□No
		(f)	Is there a reconciliation of the monthly bank card s	tatement, and does it	have su	pervisory approval?	√ Yes	□No
b	. Wi	hat c	controls does the commander have in place to ensure	e timely transmittals o	f monies	3?		
	Γr	ansn	nittals are in the weekly suspense file.					
	(1)		e collections sent to Fiscal Management Section at t 0,000 total collections, or at the close of business ea		\$1,000 i	n cash and	✓ Yes	□No
	(2)		e monies received for DL45s, California Special Driv dence, etc., handled appropriately by coordinating tr				✓ Yes	□No
	(3)	Are	e "no collection" transmittals sent when appropriate?				✓ Yes	□No
	(4)	Do	tire sale transactions comply with policy?				∀es	□No
С	. Is s	secu	rity of the postage machine adequate?				✓ Yes	□No
	(1)	ls t	the machine locked when not in use?				✓ Yes	□No
	(2)	ls t	the meter reading documented as required?				✓ Yes	□No
	(3)		there documentation of monies refunded or forwarde stage machine is being repaired or replaced?	d to Fiscal Manageme	ent Sect	ion when the	✓ Yes	□ No
5. S	UPPLY REQUISITIONS (CHP 41)  EVALUATED ACTION REQUIRED NO						CORRECTED	
а	. Are requisitions prepared properly?						✓ Yes	□No
	(1)	Wh	no prepares them? Office Tech					
	(2)	Has	s a practical stock level been established and mainta	ained?			Yes	□No
	(3)	ls t	here a system that notifies the staff when the quarte	rly requisition is going	to be p	repared?	✓ Yes	□No
		(a)	Is the quarterly requisition period for this command	l adhered to?			✓ Yes	□No
		(b)	Is there a high number of emergency requisitions?				☐ Yes	✓ No
b.	Are	iten	ns stored properly in a storeroom?				✓ Yes	□No
	(1)	ls tl	here convenient access for regularly used items?				✓ Yes	□No
	(2)	Hav	ve obsolete items been removed?				✓ Yes	□No
. s	UPPL	LIES		Yes		NO REQUIRED	COPRECTED	
a,	Are	all c	cameras assigned to the command accounted for?			1,32,	✓ Yes	□No
	(1)	Are	camera cases clean and do they contain the requir	ed accessories?			✓ Yes	□No
	(2)	ls c	amera maintenance assigned to a particular individu	ual?			✓ Yes	□No
		(a)	What is his/her preventative maintenance schedule	? cameras are chec	ked ann	ually at inventory tim	e.	
		-	extenders assigned to the command accounted for?					□No

OFFICE MANAGEMENT

	(1)	) Is there adequate security for extender bat	teries and other	supplies?			□No			
7.	OFFIC	CE EQUIPMENT		Yes Yes	ACTION REQUIRED	COKPECT	,			
	a. Ar	re office machines in good condition and prop	erly maintained	?		✓ Yes	□No			
-	(1)	) Is the vendor complying with maintenance	contract provision	ons?		✓ Yes	□No			
	(2)	) Is there a shortage or surplus of machines?	?			Yes	✓ No			
	b. Is	the Management Information System (MIS) u	sed properly?			✓ Yes	□No			
	(1)	) Who is authorized to use the equipment?	Management of	& Clerical						
	(2)	) How is training provided, and by whom?	How is training provided, and by whom? Area has a certified instructor to conduct annual and new							
	(3)	) Is there a usage schedule for uniformed an	d nonuniformed	personnel?		☐ Yes	✓ No			
	(4)	Are there controls in place to ensure confid	entiality?				□No			
	(5)	Are all personnel aware of how to request r	epairs after nom	mal business hour	s?	✓ Yes	□No			
	(6)	Is the MIS used to send messages to other	offices in lieu o	f formal memorand	dums?	✓ Yes	□No			
	(7) V	What system is used to ensure proper routing	of MIS informat	tion?						
	с. Аге	e personal computers used properly?				✓ Yes	□No			
	(1)	Who is authorized to use the equipment?	All Personnel							
	(2)	How is training provided, and by whom?	s needed							
		(a) How many employees are trained in its	use? All Perso	nnel						
	(3)	Are there restrictions on the time its used?				☐ Yes	☑ No			
		(a) Is there a schedule for uniformed and r	nonuniformed er	nployees?		Yes	✓ No			
	(4)	Is confidential or sensitive information being	stored on a PC	hard drive?		✓ Yes	□No			
		(a) If so, is the PC password protected?				✓ Yes	□No			
		(b) Is confidential or sensitive information secure area?	stored on disks,	CDs, or removabl	e drives kept in a	√ Yes	□No			
	(5)	What is the PC being used for? To perfor	m all Departme	ental functions/tasl	(S					
	(6)	Are controls present to prevent inappropriat	e/personal use	of the computer?		√ Yes	□No			

# AREA MANAGEMENT EVALUATION OFFICE MANAGEMENT

	(7) Are backup procedures being performed on a regular	basis?		✓ Yes	☐ No
	(a) Where applicable, are backup disks stored in a s		✓ Yes	□No	
	(8) Are PC manuals and other documentation available t	o all users?		✓ Yes	□No
	(9) What procedures are in place to ensure out-of-date d	purged?			
	Files are routinely reviewed and purged. All person	nel are reminded to revie	ew their files and delete old	l files as needd	ed.
	(10) Are employees aware of the availability of assistance	in resolving computer re	elated problems?	✓ Yes	□ No
	(11) Is anti-virus software regularly utilized on all state-ow	✓ Yes	□No		
. Р	UBLIC CONTACTS	CORRECTE			
а	. Does the office have extended office hours?			✓ Yes	□No
	(1) If so, are they adequate and effective?			✓ Yes	□No
b.	. Are persons served promptly and courteously?			✓ Yes	□No
	(1) Are backup personnel immediately available?			√ Yes	□No
	(2) Is telephone service both efficient and effective?			✓ Yes	□No
	(3) Are limited duty personnel used for receptionist duties	s and answering telepho	nes?	√ Yes	□No
-	(4) Are officer substitutions for nonuniformed positions ke	ept at a minimum?		√ Yes	□ No
s	CHOOL BUS DRIVER EXAMINATIONS	No N/A	ACTION REQUIRED	CORPECTE	7
а.			ool bus coordinator		
	. Is school bus driver testing a special duty or a clerical fund assigned?	ction, or is a full-time sch			
		ction, or is a full-time son		☐ Yes	□No
	assigned?			☐ Yes	□No
	assigned?  (1) Are tests and test keys kept in a secure place?	res?		☐ Yes	□ No
	<ul><li>(1) Are tests and test keys kept in a secure place?</li><li>(2) How are interested parties advised of testing procedular</li></ul>	res? nt, and missed questions	s discussed?		
	<ul><li>(1) Are tests and test keys kept in a secure place?</li><li>(2) How are interested parties advised of testing procedular</li><li>(a) Are exams graded in the presence of the application.</li></ul>	res? nt, and missed questions	s discussed?	□Yes	□ No
	(1) Are tests and test keys kept in a secure place?  (2) How are interested parties advised of testing procedu  (a) Are exams graded in the presence of the applica  (b) Does the officer or coordinator take possession of the applica and the presence of the application of the appl	nt, and missed questions of the test and dispose of	s discussed?	□Yes	□ No
	(1) Are tests and test keys kept in a secure place? (2) How are interested parties advised of testing procedu  (a) Are exams graded in the presence of the applica  (b) Does the officer or coordinator take possession of	nt, and missed questions of the test and dispose of	s discussed?	☐ Yes ☐ Yes	□ No □ No

#### OFFICE MANAGEMENT

(1)	, , , , ,	nat controls are in place to ensure officers appear in cou				
		ficer & Sgt sign each subpoena, court info is logged on	area schedule, sub	poena is put in suspen	se. Sgt does month	ily audit
	_	opoenae to insure attendance.	THE STITUTE OF THE	poorti to per in suspen		
	-	How are appearances minimized following cancellation	ns?			
	(/	Officers are notified ASAP during business hours.				
	(b)	How are "short notice" cancellations minimized?				
		Officers are notified ASAP during business hours.				
(2)		CHP 90s, Report of Court Appearance - Civil Action, poropriate cases?	properly distributed	and completed on all		□No
(3)	Wh	o is responsible for managing the process? The Sgt	and the OT work t	ogether to track/mana	ge the CHP 90 pro	cess
	(a)	Are court officers performing duties that could be hand			Yes	☑ No
. DEP		Are court officers performing duties that could be hand	dled by clerical pers	sonnel?   Action peguiree   No		
	ARTI		EVALUATED	ACTION PEQUIRED		
a. Are	ARTN e the	MENTAL MANUALS	Yes	ACTION PEQUIRED	CORRECTE	5
a. Are	ARTN e the Are	MENTAL MANUALS  number of authorized libraries being maintained?	Yes Yes	ACTION PEQUIRED	○ CORRECTE  ✓ Yes  ✓ Yes	□ No
a. Are	ARTN e the Are	MENTAL MANUALS  number of authorized libraries being maintained?  the libraries convenient for those who must use them?	Yes Yes	ACTION PEQUIRED NO	○ CORRECTE  ✓ Yes  ✓ Yes	□ No
a. Are	ARTN e the Are	MENTAL MANUALS  number of authorized libraries being maintained?  the libraries convenient for those who must use them?  What controls are in place for "loaning" manuals to en	Yes Yes	ACTION PEQUIRED NO	○ CORRECTE  ✓ Yes  ✓ Yes	□ No
a. Are	ARTM e the Are (a)	MENTAL MANUALS  number of authorized libraries being maintained?  the libraries convenient for those who must use them?  What controls are in place for "loaning" manuals to en	Yes  nployees? manua	ACTION PEQUIRED NO	○ CORRECTE  ✓ Yes  ✓ Yes	□ No
a. Are	ARTM e the Are (a)	number of authorized libraries being maintained?  the libraries convenient for those who must use them?  What controls are in place for "loaning" manuals to en encouraged to use the on-line manuals.	Yes  nployees? manually identified?	ACTION PEQUIRED NO	✓ Yes ✓ Yes  Facility. Employe	□ No □ No
a. Are	ARTM e the Are (a)	number of authorized libraries being maintained?  the libraries convenient for those who must use them?  What controls are in place for "loaning" manuals to en encouraged to use the on-line manuals.	Yes  nployees? manually identified?  ufficient with 2	ACTION PEQUIRED NO	✓ Yes ✓ Yes  Facility. Employe	□ No □ No
a. Are (1)	ARTM Aree the Aree (a) Aree (b)	number of authorized libraries being maintained?  the libraries convenient for those who must use them?  What controls are in place for "loaning" manuals to en encouraged to use the on-line manuals.  publications distinctively marked so they can be readily are the number of libraries excessive or sufficient? So	Yes  nployees? manually identified?  ufficient with 2	ACTION PEQUIRED NO	Yes  Yes  Acility. Employe	□ No □ No es are □ No

STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL AREA MANAGEMENT EVALUATION

OFFICE MANAGEMENT

CHP 453E (Rev. 5-06) OPI 009

AREA	DIVISION	NUMBER
Buellton	Coastal	755
EVALUATED BY		DATE
Lt. M. Maples/C	A P. Cota/Sgt. T. Mullen	12/02/2009

INSTRUCTIONS: Indicate items reviewed by placing a check in the "Evaluated" box and/or the "Action Required" box. If this form is used as a Correction Report, the "Correction" box should be initialed and dated as deficiencies are corrected. Answer individual items with "yes" or "no" answers, or fill in the blanks as indicated. If additional comments are necessary, the information can be placed on the CHP 454, Area Management Evaluation Supplement. The Supplement should include significant findings, accomplishments or corrective actions, unresolved items, problems or progress, and the evaluator's overall impressions. This form can be completed in pen or pencil, and the Supplement can be handwritten if desired.

TYPE OF EVA		□ Info	rmal Evaluation		SUSPENSE DATE			
FOLLOW-UP REQUIRED Informal Evaluation				12/31/2010 COMMANDER'S REVIEW		DATE		
☐ Correction Report		ort	COMMANDER S REVIEW	v	I DATE			
✓ Yes	□No		BY		Lt. Marty Maple	S	12/10/2009	
1 CLERICAL TASKS						ACTION REQUIRED  Ves	CORRECTED	)
- a le f	the office well	organized?			12/02/2009	yes	✓ Yes	
(1)	Are there w						✓ Yes	□ No
	(a) Does c	erical staff I	nave their job descript	tion at their des	k? 		✓ Yes	□ No
	(b) Does c	erical staff (	understand what is ex	pected of them	?		✓ Yes	□No
(2)	Are similar	activities gro	ouped together to pror	note efficiency	?		✓ Yes	□No
(3)	If tape reco	ders are us	ed, can clerical emplo	yees transcribe	e effectively?		☐ Yes	☑ No
(4)	Is the cleric	al staff know	ledgeable in the use	of personal cor	nputers, filing requ	irements, information		
	security, etc	.?					✓ Yes	□No
(5)	Can anothe	r clerical em	ployee assume the d	uties of a cleric	al employee who i	s absent?	✓ Yes	□No
b. Is t	the Office Ser	vices Super	visor (OSS) effective	?			☐ Yes	☑ No
(1)	Does he/sh	e properly a	pply management phi	losophies and	supervisory skills?		☐ Yes	☑ No
	(a) Does h	e/she have	the authority and bacl	king necessary	to effectively supe	ervise subordinates?	☐ Yes	☑ No
	(b) Is the c	lerical super	rvisor an effective ma	nager?			☐ Yes	☑ No
(2)	Does the O	SS identify e	employes with supervi	isory potential?			☐Yes	☑ No
		e/she assist oment?	employees in the pre	paration of writ	tten plans for prog	ressive career	☐ Yes	☑ No
		pecial intere fforded the e		d educational o	opportunities and/o	or departmental training	☐Yes	☑ No
			ndividual Developme sed to identify particul			ce of Permanent	☐Yes	☑ No
(3)	Does the su	pervisor set	a good example?				☐ Yes	☑ No
	(a) Does h	e/she show	a willingness to assis	t subordinate p	ersonnel?		☐ Yes	☑ No
	(b) Does h	e/she know	when to act, when to	delegate, and v	when to refer to a	supervisor?	☐ Yes	☑ No
(4)	If there is m	ore than one	e OSS, is the work an	d supervision e	evenly distributed?		☐ Yes	☑ No
(5)	Does the O	SS participa	te in Area staff meetir	ngs?			✓ Yes	□No

2. F	ILING SYSTEM	12/02/2009	no	CORRECTED			
a.	Is the Area's filing system in compliance with departmental g	uidelines contained in l	HPG 11.1, Field Office	✓ Yes	□No		
b.	b. Are other files, i.e., permanent files, enforcement document files, etc., maintained according to policy?						
	(1) How far back are accident reports being maintained? 3 y	ears + current year					
	(2) Is there a filing backlog?			☐ Yes	☑ No		
	(3) Is there evidence of recent office review?			Yes	☑ No		
	(4) How are Management and All Commanders Memorando	ums filed and purged?	filed per HPM 11.1 and p	ourged annual	ly.		
	(5) Are Training and Information Bulletins filed?			✓ Yes	□No		
	(a) If so, how are they located? filed/maintained in o	command library.					
	(6) Do all clerical employees understand the filing system?			✓ Yes	□No		
	(7) Does the Area have an effective suspense system?			✓ Yes	□No		
	(a) Do all supervisors take advantage of the suspense	system?		✓ Yes	□No		
C.	Are personnel files properly secured and access limited?			✓ Yes	□No		
	(1) Are the requirements of the Information Practices Act be	ing followed?		✓ Yes	□No		
	(2) Is a periodic review done on a regular basis?			✓ Yes	□No		
	(a) If so, how often? monthly						
	(3) Is annual employee review and updating conducted as r	equired?		✓ Yes	□No		
	(4) Are only required or permitted items contained in person			✓ Yes	□No		
SF	ECURITY OF CRIMINAL RECORDS	12/02/2009	no ACTION REQUIRED	CORRECTED	);		
a.	Have employees who have access to criminal offender recorstating they understand the regulations and policies pertaining		acknowledgment	☑ Yes	□No		
	(1) Has the Area designated a specific person to release cri	minal offender record ir	nformation?	✓ Yes	□No		
	(a) Do any other persons release this information?			☐Yes	☑ No		
	(b) Has the designated person completed the required	raining?		✓ Yes	□No		
	(c) Are safeguards in place to verify telephone inquiries	prior to disclosure?		✓ Yes	□No		
	(2) Does each person that is designated to release informati Record Information Release Log?	ion maintain a CHP 260	BB, Criminal Offender	✓ Yes	□No		
	(a) Are entries maintained for the prescribed period of ti	me?			□No		
FI	SCAL PROCEDURES	12/02/2009	action required yes	CORRECTED	).		
a.	Have discrepancies on the most current audit reports been co	orrected?		✓ Yes	□No		

(1)	Are	e all change fund and collections handled and processed according to policy?	✓ Yes	□No
	(a)	Are counter receipts and DL45s, California Special Driver's Certificate, issued to the field accounted for and safeguarded?	✓ Yes	□No
	(b)	Are "voided" or "no fee" DL45s marked as such, signed by the commander, and forwarded to Fiscal Management Section?	□Yes	☑ No
	(c)	Is there a separation of duties between cashier responsibilities and transmittal of collections?	☐ Yes	☑ No
	(d)	Are collections and change funds safeguarded?	✓ Yes	□No
	(e)	Are checks promptly endorsed and cash receipts reconciled daily?	✓ Yes	□No
	(f)	Are counter receipts and DL45s that are issued in sequence accounted for and returned to Fiscal Management Section upon completion?	✓ Yes	□No
	(g)	What specific guidelines are in place for security control and accountability? quarterly audits/counter re	eceipts are	locked in
		secure location.		
	(h)	Is a supervisor responsible for review of the system?	✓ Yes	□No
	(i)	Do total collections agree with the total amount of counter receipts and DL45s issued?	✓ Yes	□No
	(j)	Are counter receipts and transmittal records prepared properly?	✓ Yes	□No
	(k)	Are surprise counts of funds performed and documented by the commander or designee?	✓ Yes	□No
(2)	Are	security and accountability procedures in place for the petty cash fund?	✓ Yes	□No
	(a)	Is the petty cash fund used only for authorized purchases within the limited amount?	✓ Yes	□No
	(b)	Are valid authorizations on file?	☐ Yes	✓ No
	(c)	Is a Disbursement Voucher (Std. 439) completed and signed by the commander when the receipt does not show the vendor name or item purchased?	□Yes	☑ No
	(d)	Are there adequate procedures to ensure purchases are properly authorized?	✓ Yes	□No
	(e)	Are surprise counts performed by someone not involved in handling the petty cash fund?	✓ Yes	□No
(3)	Are	X-Number services proper and within departmental and state policy?	✓ Yes	□No
	(a)	Are services procured over \$4,999.99?	☐ Yes	☑ No
	(b)	Is the amount limit circumvented by splitting procurements?	☐ Yes	☑ No
	(c)	Are three price quotations obtained and documented on a CHP 78X, X-Number Request?	✓ Yes	□No
	(d)	Do invoices itemize charges and reference X-Numbers?	✓ Yes	□No
(4)	Are	bank cards adequately safeguarded, and purchases reviewed by a supervisor?	✓ Yes	□No
	(a)	Are cardholders familiar with the bank card process, including prohibited and restricted items?	✓ Yes	□No
	(b)	Are purchases within established policy?	✓ Yes	□No
	(c)	Are three price quotations obtained and documented on a CHP 315X?	☐Yes	☑ No
	(d)	Is the bank card log completed properly?	✓ Yes	□No

### DEPARTMENT OF CALIFORNIA HIGHWAY PATROL AREA MANAGEMENT EVALUATION

#### **OFFICE MANAGEMENT**

	· · · · · · · · · · · · · · · · · · ·					
	(e) Are invoices and CHP 317, CAL-Card Log	g, reviewed by	y a supervisor?		✓ Yes	□No
	(f) Is there a reconciliation of the monthly bar	nk card statem	nent, and does it h	ave supervisory approv	al?	□No
b	o. What controls does the commander have in place	to ensure time	ely transmittals of	monies? none		
	(1) Are collections sent to Fiscal Management Se \$10,000 total collections, or at the close of bus			1,000 in cash and	✓ Yes	□No
	(2) Are monies received for DL45s, California Speevidence, etc., handled appropriately by coord				, ☑ Yes	□No
-	(3) Are "no collection" transmittals sent when app	ropriate?				□No
	(4) Do tire sale transactions comply with policy?				☑ Yes	□No
С	c. Is security of the postage machine adequate?				✓ Yes	□No
	(1) Is the machine locked when not in use?				☐Yes	☑ No
	(2) Is the meter reading documented as required?	,			✓ Yes	□No
	(3) Is there documentation of monies refunded or postage machine is being repaired or replaced		Fiscal Manageme	nt Section when the	☐ Yes	☑ No
5. S	SUPPLY REQUISITIONS (CHP 41)		EVALUATED 12/02/2009	ACTION REQUIRED	CORRECTED	
——а.	a. Are requisitions prepared properly?				✓ Yes	□No
	(1) Who prepares them? OA					
	(2) Has a practical stock level been established as	nd maintained	1?	***************************************	✓ Yes	□No
	(3) Is there a system that notifies the staff when the	ne quarterly re	equisition is going	to be prepared?	✓ Yes	□No
	(a) Is the quarterly requisition period for this of	command adh	ered to?		✓ Yes	□No
	(b) Is there a high number of emergency requ	uisitions?			✓ Yes	□No
b.	. Are items stored properly in a storeroom?				✓ Yes	□No
	(1) Is there convenient access for regularly used in	tems?			✓ Yes	□No
	(2) Have obsolete items been removed?				✓ Yes	□No
6. S	SUPPLIES		12/02/2009	ACTION REQUIRED	CORRECTED	0
a.	. Are all cameras assigned to the command account	ed for?			✓ Yes	□No
	(1) Are camera cases clean and do they contain the	ne required ac	ccessories?		✓ Yes	□No
	(2) Is camera maintenance assigned to a particula	r individual?			✓ Yes	□No
	(a) What is his/her preventative maintenance	schedule? 1	no specific mainte	nance schedule/equipn	nent is repaired as	needed.
b.	. Are all extenders assigned to the command accour	nted for?			✓ Yes	□No

Department of California Highway Patrol AREA MANAGEMENT EVALUATION Chapter 5 OFFICE MANAGEMENT	Area San Luis Obispo	Division Coastal	Number 745
	Evaluated By Lt.	C. Day	Date 11/24/09

INSTRUCTIONS: Indicate items reviewed by placing a check in the "Evaluated" box and/or the "Action Required" box. If this form is used as a Correction Report, the "Correction" box should be initialed and dated as deficiencies are corrected. Answer individual items with "yes" or "no" answers, or fill in the blanks as indicated. If additional comments are necessary, the information can be placed in the Summary Statement. The Summary Statement should include significant findings, accomplishments or corrective actions, unresolved items, problems or progress, and the evaluator's overall impressions. This form can be completed in pen or pencil, and the Summary can be handwritten if desired.

Type of Evaluation					
☐ Formal	Informal	Suspense Date			
Follow-up Required ⊠Yes □No	⊠Correction Report by	Commander's F	Review	/2	-29-05 Date
1. CLERICAL TASKS		Evaluated	Action Required	Correct	ted
a. Is the office well-orga	anized?		<del>(                                    </del>	⊠Yes	□No
(1) Are there written j ⊠ Yes ☐No	ob descriptions?				
(a) Does clerical st	aff have their job descrip	tion at their desk?	)	⊠Yes	□No
(b) Does clerical st	aff understand what is ex	pected of them?		⊠Yes	□No
(2) Are similar activitie	es grouped together to pr	omote efficiency	>	⊠Yes	□No
(3) Are stenographers	s available for dictation?			□Yes	⊠No
(a) Are supervisors	or special duty officers t	rained to give dic	ation?	∐Yes	⊠No
(4) If tape recorders a	ire used, can clerical emp	oloyees transcribe	e effectively?	⊠Yes	□No
	knowledgeable in the us formation security, etc.?	e of personal cor	nputers,	⊠Yes	□No
b. Is the Office Services	Supervisor (OSS) effect	tive?		⊠Yes	□No
(1) Does he/she proposupervisory skills?	erly apply management p	hilosophies and		⊠Yes	□No
(a) Does he/she ha effectively supervis	ve the authority and backe subordinates?	king necessary to		⊠Yes	□No
(b) Is the clerical su	pervisor an effective ma	nager?		⊠Yes	□No
(2) Does the OSS identify employees with supervisory potential?				⊠Yes	□No
(a) Does he/she assist employees in the preparation of written plans for progressive career development?				⊠Yes	□No
(b) Have special interests been identified and educational opportunities and/or departmental training been afforded the employees?					□No
CHP 453E (Rev 1-96)					Page 1

### DEPARTMENT OF CALIFORNIA HIGHWAY PATROL AREA MANAGEMENT EVALUATION

#### OFFICE MANAGEMENT

	(1)	VVł	nat controls are in place to ensure officers appear in court	? Continuous monitori	ng by court officer and c	juarterly au	ıdit by
		ass	signed supervisor.				
		(a)	How are appearances minimized following cancellations	? Employees are imme	ediately notified of cance	ellations by	telephone.
<del>2</del>			Notifications of cancellations are then logged.				
100							
_		(b)	How are "short notice" cancellations minimized? Same	e as above. Court is awa	re of CHP policy.		
	(2)		e CHP 90s, Report of Court Appearance - Civil Action, pro propriate cases?	perly distributed and cor	npleted on <b>all</b>	✓ Yes	□No
	(3)	Wh	o is responsible for managing the process? Court office	cer and assigned supervi	sor.		
		(a)	Are court officers performing duties that could be handle			✓ Yes	□No
11. D	EP#	RTN	MENTAL MANUALS	12/02/2009	ACTION REQUIRED NO	CORRECTED	
a.	Are	the	number of authorized libraries being maintained?			✓ Yes	□No
	(1)	Are	the libraries convenient for those who must use them?			✓ Yes	□No
		(a)	What controls are in place for "loaning" manuals to empl	oyees? None			
	(2)	Are	publications distinctively marked so they can be readily in	dentified?		✓ Yes	□No
		(a)	Are the number of libraries excessive or sufficient? Suff	icient			
		(b)	Is there a listing available of what should be in each libration	iry?		✓ Yes	□No
	(3)	Are	publications kept up-to-date?	·		✓ Yes	□No
	(4)	Who	of files publication changes? OA and OSSI				

(c) Has the CHP 118A been used to identify particular strengths				
of the employees?	⊠Yes	□No		
(3) Does the supervisor set a good ex	⊠Yes	□No		
(a) Does he/she show a willingness	⊠Yes	□No		
(b) Does he/she know when to act, when to delegate, and when to refer to a supervisor?				□No
(4) If there is more than one OSS, is the work and supervision evenly distributed?				⊠No
(5) Does the OSS participate in Area	staff meetings?		⊠Yes	□No
2. FILING SYSTEM	Evaluated 🖂	Action Required	Corrected	
a. Is the Area's filing system in complian guidelines contained in HPG 11.1?	nce with departmenta	ıl	⊠Yes	□No
b. Are other files, i.e., permanent files, e files, etc., maintained according to policy		nt	⊠Yes	□No
(1) How far back are accident reports	being maintained?(	Current plus three ye	ars	
(2) Is there a filing backlog?			∐Yes	⊠No
(3) Is there evidence of recent office r	eview?		⊠Yes	□No
(4) How are Management and All Corto date. They are purged every	nmanders Memorand	dums filed and purge	ed? Filed acc	ording
four years when the administrative file	es are purged.			
(5) Are Training and Information Bulle	tins filed?		⊠Yes	□No
(a) If so, how are they located? File	ed in a binder behind	the OSS I desk.		
(6) Do all clerical employees understa	nd the filing system?		⊠Yes	□No
(7) Does the Area have an effective s	uspense system?		⊠Yes	□No
(a) Do all supervisors take advanta	ge of the suspense s	ystem?	⊠Yes	□No
c. Are personnel files properly secured a	and access limited?		⊠Yes	□No
(1) Are the requirements of the Inform	ation Practices Act b	eing followed?	⊠Yes	□No
(2) Is a periodic review done on a reg	ular basis?		⊠Yes	□No
(a) If so, how often? Quarterly by C	OSS I			
(3) Is annual employee review and up	dating conducted as	required?	∐Yes	⊠No
(4) Are only required or permitted item	ns contained in perso	nnel folders?	⊠Yes	□No

3. SECURITY OF CRIMINAL RECORDS	Evaluated	Action Required	Corrected	
a. Have employees who have access to signed an acknowledgement stating the policies pertaining to these records?	⊠Yes	□No		
(1) Has the Area designated a specific offender record information?	c person to release c	riminal	 ⊠Yes	□No
(a) Do any other persons release the	nis information?		⊠Yes	□No
(b) Has the designated person com	pleted the required t	raining?	⊠Yes	□No
(c) Are safeguards in place to verify prior to disclosure?	telephone inquiries		⊠Yes	□No
(2) Does each person designated to reach a CHP 263B log?	elease information m	aintain	⊠Yes	□No
(a) Are entries maintained for the p	rescribed period of ti	me?	⊠Yes	□No
4. FISCAL PROCEDURES	Evaluated 🖂	Action Required	Corrected	
a. Have discrepancies on the most curr	ent audit reports bee	n corrected?	□Yes	⊠No
(1) Are all change fund and collections according to policy?	s handled and proces	ssed	⊠Yes	□No
(a) Are counter receipts and DL45s and safeguarded?	issued to the field a	ocounted for	⊠Yes	□No
(b) Are "voided" or "no fee" DL45s and forwarded to Accounting Section		ned by the command	er, ⊠Yes	□No
(c) Is there a separation of duties b and transmittal of collections?	etween cashier respo	onsibilities	⊠Yes	□No
(d) Are collections and change fund	ls safeguarded?		⊠Yes	□No
(e) Are checks promptly endorsed a	and cash receipts rec	conciled daily?	⊠Yes	□No
(f) Are counter receipts and DL45s for and returned to Accounting Sec			⊠Yes	□No
(g) What specific guidelines are in page kept locked and secured in	place for security cor	trol and accountabili	ty? Petty cas	sh is
filing cabinet with only access to the front counter with access to	ne OSS I. Change fu	ınd is kept locked in a	a drawer at th	ne
all office personnel during busines	s hours and locked a	after hours.		
(h) Is a supervisor responsible for re	eview of the system?	•	⊠Yes	∐No
(i) Do total collections agree with th and DL45s issued?	e total amount of cou	inter receipts	⊠Yes	□No
(j) Are counter receipts and transmi	ttal records prepared	d properly?	⊠Yes	□No
(k) Are surprise counts of funds per commander or designee?	formed and docume	nted by the	⊠Yes	□No

(2) Are security and accountability procedures in place for the petty cash fund?	⊠Yes	□No
(a) Is the petty cash fund used only for authorized purchases within the limited amount?	⊠Yes	□No
(b) Are valid authorizations on file?	⊠Yes	□No
(c) Is a Disbursement Voucher (Std. 439) completed and signed by the commander when the receipt does not show the vendor name or item purchased?	⊠Yes	□No
(d) Are there adequate procedures to ensure purchases are properly authorized	?⊠Yes	□No
(e) Are surprise counts performed by someone not involved in handling the petty cash fund?	⊠Yes	□No
(3) Are X-Number services proper and within departmental and state policy?	⊠Yes	□No
(a) Are services procured over \$1,000?	⊠Yes	□No
(b) Is the amount limit circumvented by splitting procurements?	∐Yes	⊠No
(c) Are three price quotations obtained and documented on a CHP 78X?	⊠Yes	□No
(d) Do invoices itemize charges and reference X-Numbers?	⊠Yes	□No
(4) Are bank cards adequately safeguarded, and purchases reviewed by a supervisor?	⊠Yes	□No
(a) Are cardholders familiar with the bank card process, including prohibited and restricted items?	⊠Yes	□No
(b) Are purchases within established policy?	⊠Yes	□No
(c) Are three price quotations obtained and documented on a CHP 315X?	⊠Yes	□No
(d) Is the bank card log completed properly?	⊠Yes	□No
(e) Are invoices and CHP 315Xs reviewed by a supervisor?	⊠Yes	□No
(f) Is there a reconciliation of the monthly bank card statement, and does it have supervisory approval?	⊠Yes	□No
b. What controls does the commander have in place to ensure the timely transmittals of monies is being made? The transmittal is completed weekly, signed b commander, and submitted to FMS.	y the	
	11 351 - 131	
(1) Are collections sent to Accounting Section at the first occurrence of \$200 (or \$500) in cash and \$5,000 total collections, or at the close of business each Thursday?	⊠Yes	□No
(2) Are monies received for DL45s, asset forfeiture, reimbursables, evidence, etc., handled appropriately by coordinating transmittal with the Area cashier?	⊠Yes	□No

#### **OFFICE MANAGEMENT**

	(1)	Is there adequate security for extender batteries and other si	upplies?		✓ Yes	□No
7. (	OFFIC	CE EQUIPMENT	12/02/2009	yes	CORRECTED	
a	a. Ar	e office machines in good condition and properly maintained?			✓ Yes	□No
	(1)	Is the vendor complying with maintenance contract provision	s?		✓ Yes	□No
	(2)	Is there a shortage or surplus of machines?			☐Yes	☑ No
b	. Is	the Management Information System (MIS) used properly?			✓ Yes	□No
	(1)	Who is authorized to use the equipment? OSSI and OA				
	(2)	How is training provided, and by whom? Vender and Div	ision personnel.			
	(3)	Is there a usage schedule for uniformed and nonuniformed p	ersonnel?		☐Yes	☑ No
	(4)	Are there controls in place to ensure confidentiality?			☐Yes	☑ No
	(5)	Are all personnel aware of how to request repairs after normal	al business hours?		☐Yes	☑ No
	(6)	Is the MIS used to send messages to other offices in lieu of f	ormal memorandums?		☐Yes	☑ No
	(7) V	What system is used to ensure proper routing of MIS information	n? OA discretion.			
С	. Are	e personal computers used properly?			✓ Yes	□No
	(1)	Who is authorized to use the equipment? Assigned emplo	yees.			
	(2)	How is training provided, and by whom? One on one and at	briefings by LAN Coor	rdinator.		
		(a) How many employees are trained in its use? All except	custodian.			
	(3)	Are there restrictions on the time its used?			☐Yes	☑ No
		(a) Is there a schedule for uniformed and nonuniformed emp	oloyees?		☐ Yes	☑ No
	(4)	Is confidential or sensitive information being stored on a PC I	nard drive?		☐Yes	☑ No
		(a) If so, is the PC password protected?			✓ Yes	□No
		(b) Is confidential or sensitive information stored on disks, C secure area?	Ds, or removable drives	s kept in a	✓ Yes	□No
	(5)	What is the PC being used for? Work related use only.				
	(6)	Are controls present to prevent inappropriate/personal use of	the computer?		✓ Yes	□No

	2 (1.01.0 00) 0.1000				
(7	) Are backup procedures being performed on a regular basis	?		✓ Yes	□No
	(a) Where applicable, are backup disks stored in a secure	area?		✓ Yes	□No
(8)	Are PC manuals and other documentation available to all u	sers?		✓ Yes	□No
(9	What procedures are in place to ensure out-of-date document	ents and files are pu	rged? None		
3					-
-					
(1	0) Are employees aware of the availability of assistance in res	olving computer rela	ted problems?	✓ Yes	□No
(1	1) Is anti-virus software regularly utilized on all state-owned Po	Cs?		✓ Yes	□No
8. PUBI	LIC CONTACTS	12/02/2009	no no	CORRECTED	
a. D	oes the office have extended office hours?			Yes	☑ No
(1	) If so, are they adequate and effective?			☐Yes	□No
b. A	re persons served promptly and courteously?			✓ Yes	□No
(1	) Are backup personnel immediately available?			✓ Yes	□No
(2	) Is telephone service both efficient and effective?			✓ Yes	□No
(3	) Are limited duty personnel used for receptionist duties and	answering telephone	s?	✓ Yes	□No
(4	) Are officer substitutions for nonuniformed positions kept at	a minimum?		✓ Yes	□No
9. SCH	OOL BUS DRIVER EXAMINATIONS	12/02/2009	no ACTION REQUIRED	CORRECTED	
	school bus driver testing a special duty or a clerical function, osigned?  Assigned as a collateral duty responsibility to a r		ol bus coordinator		
(1)	Are tests and test keys kept in a secure place?			✓ Yes	□No
(2)	How are interested parties advised of testing procedures?	By the assigned co	ordinator.		
	(a) Are exams graded in the presence of the applicant, and	d missed questions of	discussed?	Yes	☑ No
	(b) Does the officer or coordinator take possession of the t	est and dispose of a	ccordingly?	✓ Yes	□No
(3)	How are test disposed of? Office paper shredder.				
(4)	Is there a specific date and time set aside for testing?	-		✓ Yes	□No
10. COU	RT INFORMATION PROCEDURES	12/02/2009	ACTION REQUIRED	CORRECTED	)
a. Is	there a systematic method of coordinating court appearance r			✓ Yes	□No

(3) Are "no collection" transmittals se	ent when appropriat	e?	⊠Yes	□No
(4) Do tire sale transactions comply	with policy?		⊠Yes	□No
c. Is security of the postage machine a	adequate?		⊠Yes	□No
(1) Is the machine locked when not	in use?		⊠Yes	□No
(2) Is the meter reading documented	d as required?		⊠Yes	□No
(3) Is there documentation of monie Accounting Section when the postagor replaced?			□Yes	⊠No
5. REQUISITIONS	Evaluated	Action Required	Corrected	
a. Are requisitions prepared properly?			⊠Yes	□No
(1) Who prepares them? Oss I and	WPT (Tina Weller	and Jessica Barrett)		
(2) Has a practical stock level been	established and mai	ntained?	⊠Yes	□No
(3) Is there a system that notifies the requisition is going to be prepared?	e staff when the qua	rterly	⊠Yes	□No
(a) Is the quarterly requisition peri	od for this command	d adhered to?	⊠Yes	□No
(b) Is there a high number of eme	rgency requisitions?		□Yes	⊠No
(4) Are inventory card files utilized?			□Yes	⊠No
(5) Are the two required inventory lis	tings (CHP and DG	S) utilized?	⊠Yes	□No
(a) Is the CHP 238D used to prep for items from the CHP Supply Ca		ntory listing	∐Yes	⊠No
(b) Is the DGS Material Services of annual inventory listing for items of Supply Catalog?			⊠Yes	□No
<ul><li>(c) Are inventory listings, including a period of four years or until audi Materials Management Unit?</li></ul>			□Yes	⊠No
b. Are items stored properly in a store	oom?		 ⊠Yes	 □No
(1) Is there convenient access for re			 ⊠Yes	 □No
(2) Have obsolete items been remov			⊠Yes	□No
6. OTHER EQUIPMENT AND SUPPLIES	Evaluated	Action Required	Corrected	
a. Are all cameras assigned to the con	nmand accounted fo	or?	⊠Yes	□No
(1) Are camera cases clean and do	hey contain the requ	uired accessories?	⊠Yes	□No
(2) Is camera maintenance assigned	l to a particular indiv	idual?	⊠Yes	□No

Chapter 5 OFFICE MANAGEMENT

_					
	(a) What is his/her preventative m	naintenance schedule	? As needed		
b	. Are all extenders assigned to the co			⊠Yes —	□No
-	(1) Is there adequate security for ext	tender batteries and o	ther supplies?	⊠Yes	□No
7. (	DFFICE EQUIPMENT	Evaluated	Action Required	Corrected	
а	Are office machines in good condition	on and properly maint	ained?	⊠Yes	□No
	(1) Is the vendor complying with mai	ntenance contract pro	ovisions?	⊠Yes	□No
	(2) Is there a shortage or surplus of	machines?		∐Yes	⊠No
b.	Is the Management Information Sys	tem (MIS) used prope	erly?	⊠Yes	□No
	(1) Who is authorized to use the equ	ipment? All office pe	rsonnel		
upda	(2) How is training provided, and by ated as needed.	whom? Training is pr	ovided by the OSS I a	at time of hire	e and
	(3) Is there a usage schedule for uni	formed and nonunifor	med personnel?	Yes	⊠No
	(4) Are there controls in place to ens	sure confidentiality?		⊠Yes	□No
	(5) Are all personnel aware of how to business hours?	o request repairs after	normal	⊠Yes	□No
	(6) Is the MIS used to send message formal memorandums?	es to other offices in li	eu of	□Yes	⊠No
staff	(7) What system is used to ensure p to office staff	proper routing of MIS i	nformation? Distribut	ted from com	mand
C.	Are personal computers used prope	erly?		⊠Yes	□No
	(1) Who is authorized to use the equ	ipment? All personne	el		
pers	(2) How is training provided, and by onnel depending on need.	whom? Annual trainii	ng for CLETS, as nee	eded training	for all
	(a) How many employees are train	ned in its use? All			
	(3) Are there restrictions on the time	its used?		∐Yes	⊠No
	(a) Is there a schedule for uniform	ned and nonuniformed	l employees?	∐Yes	⊠No
	(4) Is confidential or sensitive inform PC hard disk?	ation being stored on	а	⊠Yes	□No
	(a) If so, is the PC password prote	ected?		⊠Yes	□No

(4) Are officer substitutions for nonuni kept at a minimum?	formed positions		⊠Yes	□No
10. SCHOOL BUS DRIVER EXAMINATIONS	Evaluated 🖂	Action Required	Corrected	
a. Is school bus driver testing a special coordinator assigned? Special Duty	duty or a clerical fund	ction, or is a full-time	school bus	
function (Officer Joe Vega - PIO)				
(1) Are tests and test keys kept in a se	ecure place?		⊠Yes	□No
(2) How are interested parties advised process the procedures are	d of testing procedure	es? At the beginning	of the testing	9
reviewed with the applicants prior to	esting.			
(a) Are exams graded in the preser missed questions discussed?	nce of the applicant, a	and	⊠Yes	□No
(b) Does the officer take possessio	n of the test and disp	ose of accordingly?	⊠Yes	□No
(3) How are tests disposed of? Shred	Ided immediately afte	er being graded.		
9				
(4) Is there a specific date and time so	et aside for testing?		⊠Yes	□No
11. COURT INFORMATION PROCEDURES	Evaluated	Action Required	Corrected	
a. Is there a systematic method of coord	dinating court appear	ance matters?	⊠Yes	□No
(1) What controls are in place to ensu provides a list to supervisors in	re officers appear in	court? Court officer	follows up,	
the event a court appearance was micourt appearances are made.	ssed, supervisors fol	low up wth officers to	ensure all f	uture
(a) How are appearances minimize	d following cancellati	ons? Court officer n	otifies the off	icers
×				
(b) How are "short notice" cancellate the court.	ions minimized? Co	urt officers is in cons	tant contact v	with
(2) Are CHP 90s properly distributed a appropriate cases?	and completed on all	3-1	⊠Yes	□No
(3) Who is responsible for managing t	the process? OSS I,	supervisors, manage	ers	
( ) )				
(a) Are court officers performing du handled by clerical personnel?	ties that could be		∐Yes	⊠No

Chapter 5
OFFICE MANAGEMENT

12. DEPARTMENTAL MANUALS	Evaluated	Action Required	Corrected	
a. Are the number of authorized libraries	s being maintained?		⊠Yes	□No
(1) Are the libraries convenient for the	se who must use the	em?	⊠Yes	□No
(a) What controls are in place for "leemployees. Because all	oaning" manuals to e	employees? Manuals	are not loar	ed to
manuals are on line, employees c the manual on their laptop	an make digital copie	es of any manual they	/ need and re	eview
computer.				
(2) Are publications distinctively mark	ed so they can be rea	adily identified?	⊠Yes	□No
(a) Are the number of libraries exce	essive or sufficient?	Sufficient		
(b) Is there a listing available of wha	at should be in each	library?	⊠Yes	□No
(3) Are publications kept up-to-date?			⊠Yes	□No
(4) Who files publication changes? W	/PT (Jessica Barrett)			
COMMENTS				
CHP 453E (Rev 1-96)				Page 9

STATE OF CAUFORNIA	TABLE STORY	201/(2)704	
JEPART VENT OF CALIFORNIA HIGHWAY PATROL	ANTE OL	- JIVISQIE	-

OFFICE MANAGEMENT

CHP 453E (Rev. 5-06) OPI 009

ARLA	DiVISION	NUMBER
Gilroy L. F.	Coastal	726-69-865
EAVITOVILD BA		DATE
M. O. Delaney		11/24/2009

INSTRUCTIONS: Indicate items reviewed by placing a check in the "Evaluated" box and/or the "Action Required" box If this form is used as a Correction Report, the "Correction" box should be initialed and dated as deficiencies are corrected. Answer individual items with "yes" or "no" answers, or fill in the blanks as indicated. If additional comments are necessary, the information can be placed on the CHP 454, Area Management Evaluation Supplement. The Supplement should include significant findings, accomplishments or corrective actions, unresolved items, problems or progress, and the evaluator's overall impressions. This form can be completed in pen or pencil, and the Supplement can be handwritten if desired.

FOR EVALUATION   Formal Evaluation   Informal Evaluation     Formal Evaluation   Informal Evaluation     Formal Evaluation   Informal Evaluation     Commanders review     Yes   No     BY   M.O.DE LANCE	DATE	
Correction Report	DATE	
	11-7	74-09
CLERICAL TASKS  EVALUATED ACTION REQUIRED NO	CORRECT	б
a: Is the office well organized?	√ Yes	No
(1) Are there written job descriptions?	🕖 Yes	∐ No
(a) Does clerical staff have their job description at their desk?	✓ Yes	□No
(b) Does clerical staff understand what is expected of them?	✓ Yes	□No
(2) Are similar activities grouped together to promote efficiency?	✓ Yes	∏ No
(3) If tape recorders are used, can clerical employees transcribe effectively?	9 [] Yes	□No
(4) Is the clerical staff knowledgeable in the use of personal computers, filing requirements, information security, etc.?	√ Yes	No
(5) Can another clerical employee assume the duties of a clerical employee who is absent?	[v] Yes	. No
b. Is the Office Services Supervisor (OSS) effective?	[✓] Yes	. No
(1) Does he/she properly apply management philosophies and supervisory skills?	✓ Yes	∐ No
(a) Does he/she have the authority and backing necessary to effectively supervise subordinates?	✓ Yes	□No
(b) Is the clerical supervisor an effective manager?	Yes	□No
(2) Does the OSS identify employes with supervisory potential?	✓ Yes	□No
(a) Does he/she assist employees in the preparation of written plans for progressive career development?	✓ Yes	[ No
(b) Have special interests been identified and educational opportunities and/or departmental training been afforded the employees?	.√. Yes	No
(c) Has the CHP 120, Individual Development Plan for Future Job Performance of Permanent Employee, been used to identify particular strengths of the employees?	Y Yes	L_ No
(3) Does the supervisor set a	✓ Yes	□No
(a) Does he/she show a willing less to assist subording personner	✓ Yes	□No
(b) Does he/she know when to act, when to delegate, and when to refer to a supervisor?	✓ Yes	□No
(4) If there is more than one OSS, is the work and supervision evenly distributed?	✓ Yes	∏ No
(5) Does the OSS participate in Area staff meetings?	[√] Yes	. No

### AREA MANAGEMENT EVALUATION

OFFICE MANAGEMENT

2. FI	LIN	G SYSTEM	Yes	ACTION REQUIRED No	CORRI CTE.	) )1
а		the Area's filing system in compliance with departmental guid	elines contained	in HPG 11 1, Field Office		5    5
ж я		e Guide?		6898"B 68	[v] Yes	. No
b	-	e other files, i.e., permanent files, enforcement document files			[v] Yes	_ No
	(1)	How far back are accident reports being maintained? N/A	- Accident Repor	ts are filed at Hollister-Gilro	oy Area	
	(2)	Is there a filing backlog?			Yes	☑ No
	(3)	Is there evidence of recent office review?			✓ Yes	□No
	(4)	How are Management and All Commanders Memorandums	filed and purged	? Maintained in annual bir	nders and retai	ned for
		years.				
	(5)	Are Training and Information Bulletins filed?			[✓] Yes	No
		(a) If so, how are they located? Available in binders in	supply room.			
	(6)	Do all clerical employees understand the filing system?			✓ Yes	□No
	(7)	Does the Area have an effective suspense system?			✓ Yes	☐ No
		(a) Do all supervisors take advantage of the suspense syst	em?		✓ Yes	□No
C.	Are	personnel files properly secured and access limited?			✓ Yes	[ ] No
	(1)	Are the requirements of the Information Practices Act being	followed?		[√] Yes	No
	(2)	Is a periodic review done on a regular basis?			[√] Yes	No
-		(a) If so, how often? Annually		The second secon	/C 34-11/2	
	(3)	Is annual employee review and updating conducted as requ	ired?	Manage and Autom Ville	√ Yes	No
	(4)	Are only required or permitted items contained in personnel	folders?		✓ Yes	No
SE	CUF	RITY OF CRIMINAL RECORDS	EVALUATED No - N/A	ACTION REQUIRED	CORRECTED	
a	Hav stat	we employees who have access to criminal offender record in ting they understand the regulations and policies pertaining to	formation signed	an acknowledgment	☐Yes	☐ No
	(1)	Has the Area designated a specific person to release crimina	al offender record	information?	☐ Yes	□ No
		(a) Do any other persons release this information?			Yes	[] No
		(b) Has the designated person completed the required train	ing?		Yes	No
	1-1-	(c) Are safeguards in place to verify telephone inquiries prior	or to disclosure?		[] Yes	: No
	(2)	Does each person that is designated to release information a Record Information Release Log?	maintain a CHP 2	263B, Criminal Offender	□ Yes	[] No
		(a) Are entries maintained for the prescribed period of time	?		☐Yes	□No
FIS	CAL	PROCEDURES	Yes	ACTION REQUIRED	CORRECTED	8
a.	Hav	re discrepancies on the most current audit reports been corre			✓ Yes	☐ No

#### AREA MANAGEMENT EVALUATION

#### OFFICE MANAGEMENT

(1)	Are all change fund and collections handled and processed according to policy?	√ Yes	No
	(a) Are counter receipts and DL45s, California Special Driver's Certificate, issued to the field accounted for and safeguarded?	√ Yes	□No
	(b) Are "voided" or "no fee" DL45s marked as such, signed by the commander, and forwarded to Fiscal Management Section?	Yes	□No
	(c) Is there a separation of duties between cashier responsibilities and transmittal of collections?	Yes	✓ No
	(d) Are collections and change funds safeguarded?	✓ Yes	∏ No
	(e) Are checks promptly endorsed and cash receipts reconciled daily?	√ Yes	No
	(f) Are counter receipts and DL45s that are issued in sequence accounted for and returned to Fiscal Management Section upon completion?	.✓ Yes	No
	(g) What specific guidelines are in place for security control and accountability? All counter receipts are	kept in a se	cure location.
	GIF does not have a change fund as reports are not sold at this location. Only receipts issued are for	civil witnes	ss fees.
	(h) Is a supervisor responsible for review of the system?	✓ Yes	□No
	(i) Do total collections agree with the total amount of counter receipts and DL45s issued?	✓ Yes	□No
	(j) Are counter receipts and transmittal records prepared properly?	✓ Yes	□No
	(k) Are surprise counts of funds performed and documented by the commander or designee?	[] Yes	No
(2)	Are security and accountability procedures in place for the petty cash fund?	[✓] Yes	No
	(a) Is the petty cash fund used only for authorized purchases within the limited amount?	[∕] Yes	No
	(b) Are valid authorizations on file?	7 Yes	☐ No
	(c) Is a Disbursement Voucher (Std. 439) completed and signed by the commander when the receipt does not show the vendor name or item purchased?	√ Yes	No
	(d) Are there adequate procedures to ensure purchases are properly authorized?	✓ Yes	☐ No
	(e) Are surprise counts performed by someone not involved in handling the petty cash fund?	✓ Yes	∏ No
(3)	Are X-Number services proper and within departmental and state policy?	✓ Yes	□ No
	(a) Are services procured over \$4,999.99?	[] Yes	[✓] No
	(b) Is the amount limit circumvented by splitting procurements?	Yes	[∕] No
	(c) Are three price quotations obtained and documented on a CHP 78X, X-Number Request?	✓ Yes	[] No
	(d) Do invoices itemize charges and reference X-Numbers?	✓ Yes	☐ No
(4)	Are bank cards adequately safeguarded, and purchases reviewed by a supervisor?	✓ Yes	□ No
	(a) Are cardholders familiar with the bank card process, including prohibited and restricted items?	✓ Yes	[] No
	(b) Are purchases within established policy?	[v] Yes	[] No
	(c) Are three price quotations obtained and documented on a CHP 315X?	✓ Yes	□ No
	(d) Is the bank card log completed properly?	[7] Yes	I_No

### AREA MANAGEMENT EVALUATION OFFICE MANAGEMENT

	(e) Are invoices and CHP 317, CAL-Card Log, (	reviewed by a supervisor?		✓ Yes	□No
-	(f) Is there a reconciliation of the monthly bank	card statement, and does it h	ave supervisory approval?	Yes	No
-	b What controls does the commander have in place to			of the wee	
-	transmittal and all civil supoena/CHP 90 documenta	ation.			5
-					
	(1) Are collections sent to Fiscal Management Section	on at the first occurrence of \$	1,000 in cash and		
	\$10,000 total collections, or at the close of busine	ess each Thursday?		✓ Yes	☐ No
	(2) Are monies received for DL45s, California Special evidence, etc., handled appropriately by coordinates.			✓ Yes	□No
	(3) Are "no collection" transmittals sent when appropriate the collection (3) (3) (4) (4) (4) (4) (4) (4) (4) (4) (4) (4	priate?		✓ Yes	∏No
	(4) Do tire sale transactions comply with policy?		NIA	Yes	No
(	c. Is security of the postage machine adequate?			✓ Yes	No
	(1) Is the machine locked when not in use?	le train		√ Yes	No
	(2) Is the meter reading documented as required?			[✓] Yes	No
	(3) Is there documentation of monies refunded or for postage machine is being repaired or replaced?	rwarded to Fiscal Managemen	nt Section when the	✓ Yes	□ No
	SUPPLY REQUISITIONS (CHP 41)	evaluated Yes	ACTION REQUIRED	CORRECTED	)
2	a Are requisitions prepared properly?	165	140	✓ Yes	☐ No
	(1) Who prepares them? OSSI				
-	(2) Has a practical stock level been established and	maintained?	A	v' Yes	No.
	(3) Is there a system that notifies the staff when the	quarterly requisition is going	to be prepared?	√ Yes	No
	(a) Is the quarterly requisition period for this con	mmand adhered to?		/ Yes	No
	(b) Is there a high number of emergency requisi	itions?		Yes	☑ No
b	b. Are items stored properly in a storeroom?			✓ Yes	☐ No
	(1) Is there convenient access for regularly used item	ns?		✓ Yes	□No
_	(2) Have obsolete items been removed?			✓ Yes	No
. 5	. SUPPLIES	Yes	ACTION REQUIRED No	CORRECTE	
а	a. Are all cameras assigned to the command accounted	I for?		[✓] Yes	∏ No
	(1) Are camera cases clean and do they contain the	required accessories?	xx = c==+0.00 + 1 + 0.00 + 10 + 10 + 10 + 10 + 1	[✓] Yes	No
	(2) Is camera maintenance assigned to a particular in	ndividual?	2 2 2 2 2 2	✓ Yes	No
	/-> >AH4 :- L:-/b			need of re	gular
_	(a) What is his/her preventative maintenance sc	hedule? None. Cameras ar	re infrequently used and not in	i need or it	
	maintenance.	chedule? None. Cameras an	re intrequently used and not if	1 11 11	

#### OFFICE MANAGEMENT

(	(1) Is there adequate security for extender batt	teries and other s	supplies?		[/] Yes	. No
. OFF	FICE EQUIPMENT		EVALUATED Yes	NO	CORRI CTE	D
a. ,	Are office machines in good condition and prope	erly maintained?			Yes	□No
(	(1) Is the vendor complying with maintenance	contract provisio	ns?		✓ Yes	□No
(	(2) Is there a shortage or surplus of machines?	)			Yes	✓ No
b. I	Is the Management Information System (MIS) u	sed properly?			[₹] Yes	No
(	(1) Who is authorized to use the equipment?	Clerical staff, s	ergeants and licute	enant.	-	
(	(2) How is training provided, and by whom?	In-house training	ng by OSSI.			
{	(3) Is there a usage schedule for uniformed and	d nonuniformed	personnel?		☐ Yes	✓ No
(	(4) Are there controls in place to ensure confide	entiality?			✓ Yes	□No
(	(5) Are all personnel aware of how to request re	epairs after norm	nal business hours	?	√ Yes	□ No
(	(6) Is the MIS used to send messages to other	offices in lieu of	formal memorandu	ıms?	√ Yes	No
(7)	What system is used to ensure proper routing	of MIS informati	on? Commander	review.		
c A	Are personal computers used properly?	150			√ Yes	No
(	1) Who is authorized to use the equipment?	All employees.				
(:	2) How is training provided, and by whom?	New employees	are given hands-on	training at the Facility.		
NT 12	(a) How many employees are trained in its	use? 46	17 TO THE REAL PROPERTY OF THE PARTY.			
(3	3) Are there restrictions on the time its used?				Yes	∵ No
	(a) Is there a schedule for uniformed and n	nonuniformed em	ployees?		Yes	✓ No
(4	4) Is confidential or sensitive information being	stored on a PC	hard drive?	10 mm 1, 10 mm 1, 10 mm 1 mm 1 mm 1 mm 1	✓ Yes	□ No
	(a) If so, is the PC password protected?				✓ Yes	□No
	(b) Is confidential or sensitive information s secure area?	stored on disks, (	CDs, or removable	drives kept in a	✓ Yes	□No
(5	5) What is the PC being used for? State busi	iness only.				
(8	Are controls present to prevent inappropriate	e/personal use o	f the computer?		√ Yes	No

	7) Are backup procedures being performed on a regula	ar basis?		✓ Yes	□No
	(a) Where applicable, are backup disks stored in a	secure area?		✓ Yes	□ No
(8	Are PC manuals and other documentation available	to all users?		✓ Yes	□No
(9	What procedures are in place to ensure out-of-date	documents and files are p	ourged? Periodic review l	by LAN coord	inator.
(1	0) Are employees aware of the availability of assistance	e in resolving computer re	elated problems?		No
(1	1) Is anti-virus software regularly utilized on all state-ov	wned PCs?		✓ Yes	□ No
8. PUBL	LIC CONTACTS	Yes	No REQUIRED	CORRECTED	>
a. D	oes the office have extended office hours?			✓ Yes	□No
(1	) If so, are they adequate and effective?		MUTA II - INNOCUTTO PORTE CITAL A PA	✓ Yes	□No
b Ar	re persons served promptly and courteously?			✓ Yes	_ No
(1	) Are backup personnel immediately available?			[✓] Yes	. No
(2)	) Is telephone service both efficient and effective?			[/] Yes	_ No
(3)	) Are limited duty personnel used for receptionist dutie	es and answering telephor	nes?	✓ Yes	∐ No
(4)	) Are officer substitutions for nonuniformed positions l	kept at a minimum?		✓ Yes	□No
schc	OOL BUS DRIVER EXAMINATIONS	EVALUATED No - N/A	ACTION REQUIRED	CORRECTED	)
as	school bus driver testing a special duty or a clerical fur ssigned?  ) Are tests and test keys kept in a secure place?	nction, or is a full-time sch	ool bus coordinator	i l Yes	! No
(1)			ool bus coordinator	[] Yes	[ No
(1)	ssigned? ) Are tests and test keys kept in a secure place?	ures?		[] Yes	
(1)	ssigned?  ) Are tests and test keys kept in a secure place?  ) How are interested parties advised of testing proced	ures? ant, and missed questions	s discussed?		∏ No □ No
(1)	Are tests and test keys kept in a secure place?  How are interested parties advised of testing proced  (a) Are exams graded in the presence of the application.  (b) Does the officer or coordinator take possession	ures? ant, and missed questions	s discussed?	Yes	□ No
(1) (2)	Are tests and test keys kept in a secure place?  How are interested parties advised of testing proced  (a) Are exams graded in the presence of the application.  (b) Does the officer or coordinator take possession	ures? ant, and missed questions of the test and dispose of	s discussed?	Yes	□ No
(3)	Are tests and test keys kept in a secure place?  How are interested parties advised of testing proced  (a) Are exams graded in the presence of the application (b) Does the officer or coordinator take possession  How are test disposed of?	ures? ant, and missed questions of the test and dispose of	s discussed?	☐ Yes ☐ Yes	☐ No

LI. N MAPLES 1/7/2010

STATE OF CALIFORNIA			,
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL	AREA	NVISIC .	NUMBER
AREA MANAGEMENT EVALUATION	Templeton	Coastal	740
OFFICE MANAGEMENT	EVALUATED BY		DATE
CHP 453E (Rev. 5-06) OPI 009	D. Aguilar, #11915		11/24/2009

INSTRUCTIONS: Indicate items reviewed by placing a check in the "Evaluated" box and/or the "Action Required" box. If this form is used as a Correction Report, the "Correction" box should be initialed and dated as deficiencies are corrected. Answer individual items with "yes" or "no" answers, or fill in the blanks as indicated. If additional comments are necessary, the information can be placed on the CHP 454, Area Management Evaluation Supplement. The Supplement should include significant findings, accomplishments or corrective actions, unresolved items, problems or progress, and the evaluator's overall impressions. This form can be completed in pen or pencil, and the Supplement can be handwritten if desired.

TYPE OF EVA		mal Evaluation	SUSPENSE DATE			
FOLLOW-UP	REQUIRED	☐ Correction Report	COMMANDER'S REVIEW	V	DATE	
Yes	✓ No	ву	D. E. Aguilar, #1	1915	11/30/20	09
1. CLER	ICAL TASKS		evaluated D. Aguilar	None	CORRECTED N/A	)
a. Is t	the office well organized?			· ·	✓ Yes	□No
(1)	Are there written job des	scriptions?			✓ Yes	□No
	(a) Does clerical staff h	ave their job description at their des	sk?		√ Yes	□No
	(b) Does clerical staff u	nderstand what is expected of them	1?		√ Yes	□No
(2)	Are similar activities gro	uped together to promote efficiency	?		✓ Yes	□No
(3)	If tape recorders are use	ed, can clerical employees transcrib	e effectively?		√ Yes	□No
(4)	Is the clerical staff know security, etc.?	ledgeable in the use of personal cor	mputers, filing requ	irements, information	✓ Yes	□No
(5)	Can another clerical emp	ployee assume the duties of a cleric	al employee who is	s absent?	✓ Yes	□No
b. Is t	the Office Services Superv	visor (OSS) effective?			✓ Yes	□No
(1)	Does he/she properly ap	ply management philosophies and	supervisory skills?		✓ Yes	□No
	(a) Does he/she have the	he authority and backing necessary	to effectively supe	rvise subordinates?	Yes	☐ No
	(b) Is the clerical super	visor an effective manager?		97	✓ Yes	□No
(2)	Does the OSS identify e	mployes with supervisory potential?			✓ Yes	□No
	(a) Does he/she assist development?	employees in the preparation of wri	tten plans for progr	ressive career	✓ Yes	□No
	(b) Have special interes been afforded the e	sts been identified and educational omployees?	opportunities and/o	r departmental training	✓ Yes	□No
		ndividual Development Plan for Futued to identify particular strengths of		ce of Permanent	✓ Yes	□No
(3)	Does the supervisor set	a good example?			✓ Yes	□No
	(a) Does he/she show a	a willingness to assist subordinate p	ersonnel?		✓ Yes	□No
	(b) Does he/she know v	vhen to act, when to delegate, and v	when to refer to a s	supervisor?	✓ Yes	□No
(4)	If there is more than one	OSS, is the work and supervision e	evenly distributed?		Yes	☑ No
(5)	Does the OSS participate	e in Area staff meetings?			✓ Yes	□No

2. F	ILIN	G SYSTEM	D. Aguilar	ACTION REQUIRED None	CORRECTED N/A	
а	. Is	the Area's filing system in compliance with departmental guid				
	File	e Guide?			✓ Yes	□No
b	. Are	e other files, i.e., permanent files, enforcement document files	s, etc., maintained a	ccording to policy?	Yes	□No
	(1)	How far back are accident reports being maintained? Four	years plus current.			
	(2)	Is there a filing backlog?			☐ Yes	✓ No
	(3)	Is there evidence of recent office review?			√ Yes	□No
	(4)	How are Management and All Commanders Memorandums	filed and purged?	They are filed in a bind	er and purged b	y expiration
		date.				
	(5)	Are Training and Information Bulletins filed?			✓ Yes	□No
		(a) If so, how are they located? In a binder.				
	(6)	Do all clerical employees understand the filing system?			✓ Yes	□No
	(7)	Does the Area have an effective suspense system?			✓ Yes	□ No
		(a) Do all supervisors take advantage of the suspense sys	tem?		✓ Yes	□No
C.	Are	e personnel files properly secured and access limited?			√ Yes	□No
	(1)	Are the requirements of the Information Practices Act being	followed?		✓ Yes	□No
	(2)	Is a periodic review done on a regular basis?			✓ Yes	□No
		(a) If so, how often? Annually.				
	(3)	Is annual employee review and updating conducted as requ	iired?		√ Yes	□No
	(4)	Are only required or permitted items contained in personnel	folders?		✓ Yes	□No
3. S	ECUI	RITY OF CRIMINAL RECORDS	EVALUATED	ACTION REQUIRED	CORRECTED	Ų.
a.		ve employees who have access to criminal offender record ir ting they understand the regulations and policies pertaining to	-	n acknowledgment	✓ Yes	□No
	(1)	Has the Area designated a specific person to release crimin	al offender record	nformation?	✓ Yes	□No
		(a) Do any other persons release this information?			Yes	✓ No
		(b) Has the designated person completed the required train	ning?		√ Yes	□No
		(c) Are safeguards in place to verify telephone inquiries pri	or to disclosure?		√ Yes	□No
	(2)	Does each person that is designated to release information Record Information Release Log?	maintain a CHP 26	3B, Criminal Offender	✓ Yes	□No
		(a) Are entries maintained for the prescribed period of time	?		✓ Yes	□No
4. FI	SCA	L PROCEDURES	D. Aguilar	None	N/A	
a.	Hav	ve discrepancies on the most current audit reports been corre	ected?		✓ Yes	□No

(1)	Are a	all change fund and collections handled and processed according to policy?	✓ Yes	□No
		Are counter receipts and DL45s, California Special Driver's Certificate, issued to the field accounted for and safeguarded?	✓ Yes	□No
		Are "voided" or "no fee" DL45s marked as such, signed by the commander, and forwarded o Fiscal Management Section?	✓ Yes	□No
	(c) I	s there a separation of duties between cashier responsibilities and transmittal of collections?	✓ Yes	□No
	(d) A	Are collections and change funds safeguarded?	✓ Yes	□No
	(e) A	Are checks promptly endorsed and cash receipts reconciled daily?	✓ Yes	□No
		Are counter receipts and DL45s that are issued in sequence accounted for and returned or Fiscal Management Section upon completion?	✓ Yes	□No
	(g) V	What specific guidelines are in place for security control and accountability? The change fund and petty	cash are l	ocked in a
		desk drawer which the OSS-1 and OA have access to the key. The change fund and petty cash are reco	nciled eacl	n Friday
		when the transmittals are done.		
	(h) I	s a supervisor responsible for review of the system?	✓ Yes	□No
	(i) D	to total collections agree with the total amount of counter receipts and DL45s issued?	✓ Yes	□No
	(j) A	re counter receipts and transmittal records prepared properly?	✓ Yes	□No
	(k) A	Are surprise counts of funds performed and documented by the commander or designee?	✓ Yes	□No
(2)	Are s	ecurity and accountability procedures in place for the petty cash fund?	✓ Yes	□No
	(a) I	s the petty cash fund used only for authorized purchases within the limited amount?	✓ Yes	□No
	(b) A	Are valid authorizations on file?	✓ Yes	□No
		s a Disbursement Voucher (Std. 439) completed and signed by the commander when the eceipt does not show the vendor name or item purchased?	✓ Yes	□No
	(d) A	Are there adequate procedures to ensure purchases are properly authorized?	✓ Yes	□No
	(e) A	Are surprise counts performed by someone not involved in handling the petty cash fund?	✓ Yes	□No
(3)	Are X	-Number services proper and within departmental and state policy?	✓ Yes	□No
	(a) A	Are services procured over \$4,999.99?	☐ Yes	☑ No
	(b) Is	s the amount limit circumvented by splitting procurements?	☐Yes	✓ No
	(c) A	are three price quotations obtained and documented on a CHP 78X, X-Number Request?	✓ Yes	□No
	(d) E	Oo invoices itemize charges and reference X-Numbers?	✓ Yes	□No
(4)	Are ba	ank cards adequately safeguarded, and purchases reviewed by a supervisor?	✓ Yes	□No
	(a) A	are cardholders familiar with the bank card process, including prohibited and restricted items?	✓ Yes	□No
	(b) A	are purchases within established policy?	✓ Yes	□No
	(c) A	re three price quotations obtained and documented on a CHP 315X?	✓ Yes	□No
	(d) Is	s the bank card log completed properly?	✓ Yes	□No

b.							
b.		(e)	Are invoices and CHP 317, CAL-Card Log, reviewed by	a supervisor?		✓ Yes	□No
b.		(f)	Is there a reconciliation of the monthly bank card statement	ent, and does it have su	pervisory approval?	✓ Yes	□No
	Wh	nat c	controls does the commander have in place to ensure time	ly transmittals of monies	? A weekly suspense.		
	(1)		e collections sent to Fiscal Management Section at the firs 0,000 total collections, or at the close of business each Th		n cash and	✓ Yes	□No
	(2)		e monies received for DL45s, California Special Driver's Cidence, etc., handled appropriately by coordinating transmi			✓ Yes	□No
	(3)	Аг	re "no collection" transmittals sent when appropriate?			✓ Yes	☐ No
	(4)	Do	tire sale transactions comply with policy?			✓ Yes	☐ No
C.	ls s	secu	rity of the postage machine adequate?			✓ Yes	□No
	(1)	ls t	the machine locked when not in use?			✓ Yes	□No
	(2)	ls t	the meter reading documented as required?			✓ Yes	□No
	(3)		there documentation of monies refunded or forwarded to F stage machine is being repaired or replaced?	iscal Management Sect	ion when the	✓ Yes	□No
. su	JPPL	LY F	REQUISITIONS (CHP 41)	D. Aguilar	None None	ORRECTED N/A	
a.	Are	e req	quisitions prepared properly?			✓ Yes	□No
	(1)	VVł	ho prepares them? The OA or OSS-1				
	(2)	На	as a practical stock level been established and maintained?	?		✓ Yes	□ No
	(3)	ls t	there a system that notifies the staff when the quarterly rec	quisition is going to be p	repared?	✓ Yes	□ No
		(a)	Is the quarterly requisition period for this command adhe	ered to?		✓ Yes	□No
		(b)	Is there a high number of emergency requisitions?			☐Yes	✓ No
b.	Are	e iter	ns stored properly in a storeroom?			✓ Yes	□No
	(1)	ls t	there convenient access for regularly used items?			✓ Yes	□ No
	(2)	На	ve obsolete items been removed?			✓ Yes	□ No
. su	IPPL	LIES		D. Aguilar	None None	N/A	
a.	Are	all	cameras assigned to the command accounted for?			✓ Yes	□No
	(1)	Are	e camera cases clean and do they contain the required ac	cessories?		✓ Yes	□No
	(2)	ls c	camera maintenance assigned to a particular individual?			✓ Yes	□No
		(a)	What is his/her preventative maintenance schedule? P	eriodic inspection on a	monthly basis.		
	Are	all e	extenders assigned to the command accounted for?			✓ Yes	No

	Is there adequate security for extender bases	atteries and othe			✓ Yes	□ No
OFFI	ICE EQUIPMENT		D. Aguilar	None	N/A	)
a. Ar	are office machines in good condition and pro	perly maintaine	d?		✓ Yes	□No
(1)	l) Is the vendor complying with maintenance	e contract provis	sions?		✓ Yes	□No
(2)	2) Is there a shortage or surplus of machine	s?			✓ Yes	□No
b. Is	s the Management Information System (MIS)	used properly?			✓ Yes	□No
(1)	) Who is authorized to use the equipment?	All CLETS t	trained employees.			
(2)	2) How is training provided, and by whom?	Training is p	provided online by the	department.		
(3)	Is there a usage schedule for uniformed a	and nonuniforme	ed personnel?		☐ Yes	✓ No
(4)	Are there controls in place to ensure conf	identiality?			✓ Yes	□No
(5)	s) Are all personnel aware of how to reques	t repairs after no	ormal business hours?	1	✓ Yes	□No
(6)	s) Is the MIS used to send messages to other	er offices in lieu	of formal memorandu	ms?	☐Yes	✓ No
(7)	What system is used to ensure proper routing	ng of MIS inform	ation? AMIS			
c. Ar	re personal computers used properly?				✓ Yes	□No
(1)	) Who is authorized to use the equipment?	Properly trai	ned employees both u	niformed and non-unifor		
(2)	) Who is authorized to use the equipment?					
	) Who is authorized to use the equipment?	Area LAN coo				No
	<ul><li>) Who is authorized to use the equipment?</li><li>2) How is training provided, and by whom?</li><li>(a) How many employees are trained in</li></ul>	Area LAN coo				☑ No
(2)	) Who is authorized to use the equipment?  2) How is training provided, and by whom?  (a) How many employees are trained in	Area LAN coo	rdinator by scheduled		med.	
(2)	Who is authorized to use the equipment?      How is training provided, and by whom?      (a) How many employees are trained in     Are there restrictions on the time its used     (a) Is there a schedule for uniformed and	Area LAN coo its use? 30 ?	rdinator by scheduled		med.	✓ No
(2)	Who is authorized to use the equipment?      How is training provided, and by whom?      (a) How many employees are trained in     Are there restrictions on the time its used     (a) Is there a schedule for uniformed and	Area LAN coo its use? 30 ?	rdinator by scheduled		med.  ☐ Yes ☐ Yes	✓ No ✓ No
(2)	<ul> <li>Who is authorized to use the equipment?</li> <li>How is training provided, and by whom?</li> <li>(a) How many employees are trained in</li> <li>Are there restrictions on the time its used</li> <li>(a) Is there a schedule for uniformed and</li> <li>) Is confidential or sensitive information being</li> </ul>	Area LAN coo its use? 30 ? d nonuniformed ing stored on a F	rdinator by scheduled employees? C hard drive?	appointment.	□ Yes □ Yes □ Yes	✓ No ✓ No
(3)	<ul> <li>(a) How many employees are trained in</li> <li>Are there restrictions on the time its used</li> <li>(a) Is there a schedule for uniformed and</li> <li>(b) Is confidential or sensitive information secure area?</li> </ul>	Area LAN coo its use? 30 ? d nonuniformed ing stored on a f	rdinator by scheduled employees? C hard drive?	appointment.	rmed.  ☐ Yes ☐ Yes ☐ Yes ☐ Yes ☐ Yes ☐ Yes	✓ No ✓ No ✓ No
(3)	<ul> <li>(a) How many employees are trained in</li> <li>Are there restrictions on the time its used</li> <li>(a) Is there a schedule for uniformed and</li> <li>(b) Is confidential or sensitive information secure area?</li> </ul>	Area LAN coo its use? 30 ? d nonuniformed ing stored on a f	employees? PC hard drive? s, CDs, or removable	appointment.	rmed.  ☐ Yes ☐ Yes ☐ Yes ☐ Yes ☐ Yes ☐ Yes	✓ No ✓ No ✓ No

## AREA MANAGEMENT EVALUATION OFFICE MANAGEMENT

(1)	) What controls are in place to ensure officers appear	in court? Subpoena serv	ice tracking log. Periodic	sergeant obser	ration at
	court. Court disposition notifications are sent by co	urt.	<u> </u>		· · · · · · · · ·
	(a) How are appearances minimized following cancer	ellations? Efficient notif	fication of the employee b	y clerical staff	2
	(b) How are "short notice" cancellations minimized?	Efficient notification o	f the employee by clerical	staff.	- :=
(2)	Are CHP 90s, Report of Court Appearance - Civil Act appropriate cases?	ion, properly distributed a	nd completed on all		No
(3)	Who is responsible for managing the process? OS	SSI			
	(a) Are court officers performing duties that could be	handled by clerical person	nnnel?	□Yes	✓ No
		. Haridica by cierical perso	ATTITICT:		[4] 140
DEP	ARTMENTAL MANUALS	EVALUATED Yes	ACTION REQUIRED	CORRECTED	
		EVALUATED	ACTION REQUIRED		
a Are	ARTMENTAL MANUALS	Yes Yes	ACTION REQUIRED	CORRECTED	)
a Are	ARTMENTAL MANUALS e the number of authorized libraries being maintained?	Yes hem?	ACTION REQUIRED	CORRECTED Y Yes	No
a Are	ARTMENTAL MANUALS  e the number of authorized libraries being maintained?  Are the libraries convenient for those who must use the	Yes hem?	ACTION REQUIRED No	CORRECTED Y Yes	No
(1)	ARTMENTAL MANUALS  e the number of authorized libraries being maintained?  Are the libraries convenient for those who must use the	revaluated Yes  hem?  to employees? N/A - a	ACTION REQUIRED No	CORRECTED Y Yes	. No
(1)	e the number of authorized libraries being maintained?  Are the libraries convenient for those who must use to the libraries are in place for "loaning" manuals	readily identified?	No No	CORRECTED  ✓ Yes  ✓ Yes	No No
(1)	e the number of authorized libraries being maintained?  Are the libraries convenient for those who must use to (a) What controls are in place for "loaning" manuals.  Are publications distinctively marked so they can be respectively.	hem? to employees? N/A - a readily identified? t? Only one for the comi	No No	CORRECTED  ✓ Yes  ✓ Yes	No No
(1) (2)	ARTMENTAL MANUALS  e the number of authorized libraries being maintained?  Are the libraries convenient for those who must use the second of t	hem? to employees? N/A - a readily identified? t? Only one for the comi	No No	CORRECTED  ✓ Yes  ✓ Yes	No No

(7) Are backup procedures being performed on a reg	ular basis?		✓ Yes	□No
(a) Where applicable, are backup disks stored in	a secure area?		✓ Yes	□No
(8) Are PC manuals and other documentation available	ole to all users?		✓ Yes	□No
(9) What procedures are in place to ensure out-of-da	ite documents and files are pu	irged?		
LAN Coordinator purges necessary files.				
	(6)			
(10) Are employees aware of the availability of assista	ince in resolving computer rela	ated problems?	✓ Yes	□No
(11) Is anti-virus software regularly utilized on all state	-owned PCs?		✓ Yes	□No
. PUBLIC CONTACTS	D. Aguilar	None	CORRECTED N/A	9
a. Does the office have extended office hours?			Yes	☑ No
(1) If so, are they adequate and effective?			☐ Yes	☑ No
b. Are persons served promptly and courteously?			✓ Yes	□No
(1) Are backup personnel immediately available?			✓ Yes	☐ No
(2) Is telephone service both efficient and effective?			✓ Yes	□No
(3) Are limited duty personnel used for receptionist de	uties and answering telephon	es?	✓ Yes	□No
(4) Are officer substitutions for nonuniformed position	ns kept at a minimum?		✓ Yes	□No
SCHOOL BUS DRIVER EXAMINATIONS	D. Aguilar	None None	N/A	6
a. Is school bus driver testing a special duty or a clerical	function, or is a full-time scho	ol bus coordinator	1	
assigned? Special Duty function.	Turiotion, or io a fair arrie corre			
	Turisticity, or its a rail arms sorte		✓ Yes	□No
assigned? Special Duty function.		ation at the start of school		
assigned? Special Duty function.  (1) Are tests and test keys kept in a secure place?		ation at the start of school		
assigned? Special Duty function.  (1) Are tests and test keys kept in a secure place?  (2) How are interested parties advised of testing proc	cedures? Officer has orienta			
assigned? Special Duty function.  (1) Are tests and test keys kept in a secure place?  (2) How are interested parties advised of testing procedure is also explained as the test is given.	cedures? Officer has orienta	discussed?	bus classes an	d the
assigned? Special Duty function.  (1) Are tests and test keys kept in a secure place?  (2) How are interested parties advised of testing procedure is also explained as the test is given.  (a) Are exams graded in the presence of the approximation.	cedures? Officer has orienta	discussed?	bus classes an	d the
assigned? Special Duty function.  (1) Are tests and test keys kept in a secure place?  (2) How are interested parties advised of testing procedure is also explained as the test is given.  (a) Are exams graded in the presence of the appropriate the officer or coordinator take possessions.	cedures? Officer has orienta	discussed?	bus classes an	d the
assigned? Special Duty function.  (1) Are tests and test keys kept in a secure place?  (2) How are interested parties advised of testing procedure is also explained as the test is given.  (a) Are exams graded in the presence of the appropriate the officer or coordinator take possessions.	cedures? Officer has oriental	discussed? accordingly?	bus classes an  ✓ Yes  ✓ Yes	d the
assigned? Special Duty function.  (1) Are tests and test keys kept in a secure place?  (2) How are interested parties advised of testing procedure is also explained as the test is given.  (a) Are exams graded in the presence of the appropriate (b) Does the officer or coordinator take possessi (3) How are test disposed of? Shredded locally.	pedures? Officer has oriental	discussed?	✓ Yes ✓ Yes	d the

	(1)	Wh	nat controls are in place to ensure officers appear in court	? All subpoenas are lo	gged in a subpoena com	puter datab	ase. The	
		ori	ginal copies of the subpoena are given to the officers for	services. Sergeants will	serve the subpoena, the	officers w	ill sign and	
	date the subpoena and then give to the subpoena clerk for filing.							
		(a)	How are appearances minimized following cancellations	received, information v	vill be logg	ed in the		
			subpoena database and a copy is printed to be given to	the officer for cancellat	ncellation. If the cancellation is received while the			
			officer is on vacation or RDO's, notification will be ma	nde telephonically by cle	erical staff or court offic	er.		
		(b)	How are "short notice" cancellations minimized? Clerical staff contacts the court days prior to the court case.					
	(2) Are CHP 90s, Report of Court Appearance - Civil Action, properly distributed and completed on all appropriate cases?					✓ Yes	□No	
	(3)	Wh	o is responsible for managing the process? OSS-I or 0	DA.			-	
		I						
	(a) Are court officers performing duties that could be handled by clerical personnel?					Yes	✓ No	
11. [	EPA	RTN	MENTAL MANUALS	EVALUATED  D. Aguilar	None	CORRECTED N/A		
a.	Аге	re the number of authorized libraries being maintained?				✓ Yes	□No	
	(1) Are the libraries convenient for those who must use them?					✓ Yes	□No	
(a) What controls are in place for "loaning" manuals to employees? None. No manuals are loaned out.								
			4					
	(2) Are publications distinctively marked so they can be readily identified?					✓ Yes	□No	
		(a)	Are the number of libraries excessive or sufficient? Suff	ficient.				
		(b) Is there a listing available of what should be in each library?				✓ Yes	□No	
	(3)	Āге	publications kept up-to-date?			✓ Yes	□No	
	(4)	Who	o files publication changes? The OA.					
	-							